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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No.		4034-20
First Named Inventor or Application Identified		Thomas C. Naratil
Title	System and Method for Trading Taxable and Non-Taxable Securities	
Express Mail Label No.	EL478364962US	

## APPLICATION ELEMENTS

*See MPEP chapter 600 concerning utility patent application contents.*

ADDRESS TO: **Assistant Commissioner for Patents**  
**Box Patent Application**  
**Washington, DC 20231**

1. ☒ \*Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages   
(preferred arrangement as set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets
4. Oath or Declaration [Total Pages
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation divisional with Box 17 completed)  
**[Note Box 5 below]**
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & documents(s))
8. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \*Small Entity ☐ Statement filed in prior application, Status still proper and desired  
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: **Certification of Mailing**

**16. If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_  
 Prior application information:    Examiner: \_\_\_\_\_    Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label      (Insert Customer No. or Attach bar code label here)      or ☒ Correspondence address below

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Signature	<i>Leslie Gladstone Restaino</i>	Date	10/16/2000

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Attorney Docket No.:  
For:

Thomas C. Naratil  
4034-20  
**SYSTEM AND METHOD FOR TRADING  
TAXABLE AND NON-TAXABLE SECURITIES**




Headquarters Plaza  
One Speedwell Avenue  
Morristown, N.J. 07962  
October 16, 2000

Box Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EL478364962US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Muriel Fleming  
(Mailer)